



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/001,512	10/31/2001	Stanley T. Lim	004967.P004 004867.P004 CONFIRMATION NO. 3244



Tarek N. Fahmi  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
Seventh Floor  
12400 Wilshire Boulevard  
Los Angeles, CA 90025-1026

FORMALITIES LETTER



\*OC00000007274568\*

Date Mailed: 01/07/2002

**NOTICE TO FILE CORRECTED APPLICATION PAPERS**

***Filing Date Granted***

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

*61*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



Attorney's Docket No.: 004867.P004

*Receipt*  
PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re Patent Application of: )  
Stanley T. Lim, et al. ) Examiner: Not Assigned  
Serial No.: 10/001,512 ) Art Unit: 2161  
Filing Date: October 31, 2001 )  
For: AN ECONOMIC FILTERING )  
SYSTEMS FOR DELIVERY OF )  
PERMISSION BASED, )  
TARGETED, INCENTIVIZED )  
ADVERTISING )

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Commissioner for Patents  
Washington, D.C. 20231

**REQUEST FOR CORRECTION OF FILING RECEIPT**

Sir:

The official Filing Receipt form PTO-103X incorrectly states the Attorney Docket Number for the above-referenced patent application as follows:

004967.P004

The correct Attorney Docket Number is as follows:

004867.P004

Enclosed is a copy of the official Filing Receipt form PTO-103X showing the incorrect Attorney Docket Number.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on March 6, 2002

Date of Deposit

Geneca Walls

Name of Person Mailing Correspondence

Signature

March 6, 2002

Date

Please have the official Filing Receipt changed to reflect the correct Attorney Docket Number, also please forward a corrected copy of the official Filing Receipt to the undersigned. The Commissioner of Patents and Trademarks is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 02-2666 (a duplicate copy of this sheet is enclosed):

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 3/6/02



Tarek N. Fahmi  
Reg. No.: 41,402

12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025-1026  
(408) 947-8200



## UNITED STATES PATENT AND TRADEMARK OFFICE

SmartPenny.com, Inc. *GW/H*

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/001,512	10/31/2001	2161	2384	004967.P004	31	88	8

*OPIE*  
MAR 14 2002

Patent & Trademark Office  
Mark N. Fahmi  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
Seventh Floor  
12400 Wilshire Boulevard  
Los Angeles, CA 90025-1026

CONFIRMATION NO. 3244  
FILING RECEIPT



QC000000007274567\*

**RECEIVED**  
JAN 11 2002

Date Mailed: 01/07/2002

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Stanley T. Lim, San Jose, CA;  
John Galen Giddings, Los Gatos, CA;  
Laura Giddings, Los Gatos, CA;

**ENTERED**

**Domestic Priority data as claimed by applicant**

JAN 11 2002

THIS APPLN CLAIMS BENEFIT OF 60/244,826 10/31/2000

**STATUS DB-LA**

**Foreign Applications**

If Required, Foreign Filing License Granted 01/07/2002

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

**Title**

Economic filtering system for delivery of permission based, targeted, incentivized advertising

**Preliminary Class**

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Stanley T. Lim, et al.

)  
)  
) Examiner: Not Assigned  
)

Application No.: 10/001,512

) Art Unit: 2161  
)

Filed: October 31, 2001

)

For: AN ECONOMIC FILTERING SYSTEM FOR  
DELIVERY OF PERMISSION BASED, TARGETED,  
INCENTIVIZED ADVERTISING

)

Commissioner for Patents  
Washington, D.C. 20231

## RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS

Sir:

In response to the Notice to File Corrected Application Papers Date Mailed  
January 7, 2002, please find enclosed:

- (1) a copy of the Notice to File Corrected Application papers;
- (2) new formal drawings, please find thirty-one (31) sheets of drawings.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first Class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on March 6, 2002

Date of Deposit

Geneva Walls

Name of Person Mailing Correspondence

Signature

March 6, 2002

Date

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

- 1 -

(LJV/cak 10/22/96)

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 3/6/02

  
\_\_\_\_\_  
Tarek N. Fahmi

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